

**UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK**

IN RE:

SSA BONDS ANTITRUST LITIGATION

1:16-cv-03711-ER

**PLAINTIFFS' MOTION FOR  
PRELIMINARY APPROVAL OF  
SETTLEMENT AGREEMENT WITH  
HSBC**

PLEASE TAKE NOTICE that, upon the filing of the accompanying Memorandum of Law in Support of Plaintiffs' Motion for Preliminary Approval of Settlement Agreement with HSBC Securities (USA) Inc. and HSBC Bank plc (collectively, "HSBC"), as well as all papers and pleadings submitted therewith, Plaintiffs, through their undersigned counsel, hereby move this Court for an order pursuant to Rule 23 of the Federal Rules of Civil Procedure:

- (1) preliminarily approving the Settlement<sup>1</sup> set forth in the Stipulations and Agreements of Settlement with HSBC;
- (2) preliminarily certifying the following Settlement Class for purposes of settlement only:

All persons or entities who, from January 1, 2009 to the date of the Preliminary Approval Order, entered into an SSA bond transaction with a Defendant; a direct or indirect parent, subsidiary, affiliate, or division of a Defendant; a Released Party; or an alleged co-conspirator, where such Persons were either domiciled in the United States or its territories or, if domiciled outside of the United States or its territories, entered into an SSA bond transaction in the United States or its territories or that otherwise involved United States trade or commerce. Excluded from the Settlement Class are Defendants, their co-conspirators identified herein, and their officers, directors, management, employees, current subsidiaries or affiliates, and all federal governmental entities; provided, however, that Investment Vehicles shall not be excluded from the definition of the Settlement Class;

- (3) preliminarily appointing Robbins Geller Rudman & Dowd LLP and Quinn Emanuel Urquhart & Sullivan, LLP ("Lead Counsel") as class counsel for the Settlement Class for purposes of settlement only;
- (4) preliminarily appointing Plaintiffs Alaska Department of Revenue, Treasury Division, Alaska Permanent Fund Corporation, and Iron Workers Pension Plan of Western Pennsylvania as class representatives for the Settlement Class for purposes of settlement only;
- (5) staying certain proceedings in the Action and other actions alleging any claims released by the Settlement Agreements with respect to Released Parties; and

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<sup>1</sup> Unless otherwise defined herein, all other capitalized terms have the same meaning as set forth in the Settlement Agreement with HSBC.

(6) granting such other and further relief as the Court deems just and proper.

Respectfully submitted,

DATED: New York, New York  
January 9, 2019

**ROBBINS GELLER RUDMAN &  
DOWD LLP**

**QUINN EMANUEL URQUHART &  
SULLIVAN, LLP**

By: /s/ David W. Mitchell

By: /s/ Daniel L. Brockett

David W. Mitchell  
Brian O. O'Mara  
Carmen A. Medici  
655 West Broadway, Suite 1900  
San Diego, CA 92101  
Telephone: (619) 231-1058  
Fax: (619) 231-7423  
davidm@rgrdlaw.com  
bomara@rgrdlaw.com  
cmedici@rgrdlaw.com

Samuel H. Rudman  
58 South Service Road, Suite 200  
Melville, NY 11747  
Telephone: (631) 367-7100  
Fax: (631) 367-1173  
srudman@rgrdlaw.com

Daniel L. Brockett  
Sascha N. Rand  
Steig D. Olson  
Thomas J. Lepri  
Christopher M. Seck  
51 Madison Avenue, 22nd Floor  
New York, New York 10010  
Telephone: (212) 849-7000  
Fax: (212) 849-7100  
danbrockett@quinnemanuel.com  
sascharand@quinnemanuel.com  
steigolson@quinnemanuel.com  
thomaslepri@quinnemanuel.com  
christopherseck@quinnemanuel.com

Jeremy D. Andersen  
Adam B. Wolfson  
865 South Figueroa Street, 10th Floor  
Los Angeles, California 90017  
Telephone: (213) 443-3000  
Fax: (213) 443-3100  
jeremyandersen@quinnemanuel.com  
adamwolfson@quinnemanuel.com

***Interim Co-Lead Class Counsel and Counsel  
for Plaintiffs Alaska Department of Revenue,  
Treasury Division, Alaska Permanent Fund  
Corporation, and Iron Workers Pension Plan  
of Western Pennsylvania and the Proposed  
Class***

**CERTIFICATE OF SERVICE**

I hereby certify that on January 9, 2019, I caused the foregoing to be electronically filed with the Clerk of the Court using the CM/ECF system, which will send notification of such filing to the email addresses denoted on the Electronic Mail Notice List.

/s/ Daniel L. Brockett  
Daniel L. Brockett  
QUINN EMANUEL URQUHART  
& SULLIVAN, LLP  
51 Madison Avenue, 22nd Floor  
New York, NY 10010-1601  
Telephone: 212-849-7000  
Facsimile: 212-849-7100  
danbrockett@quinnemanuel.com